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NASA Procedural Requirements

NPR 5810.1A

Effective Date: March 16, 2017

Expiration Date: March 16, 2022

COMPLIANCE IS MANDATORY FOR NASA EMPLOYEES

NPR 5810.1, Standard Format for NASA Research Announcement and Other Announcements for Grants and Cooperative Agreements

Responsible Office: Office of the Chief Financial Officer

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Preface

P.1 Purpose

The purpose of this NPR is to establish a standard format and process for competitive funding opportunities that may result in a grant or cooperative agreement award which includes the NASA Research Announcement (NRA) and the Cooperative Agreement Notice (CAN). An NRA may result in a contract, grant, or cooperative agreement. If the NRA could result in any one of the three funding mechanisms, NASA staff shall follow this format and the process outlined in Section 1.1 of this NPR.

P.2 Applicability

- a. This directive is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers. This directive applies to the Jet Propulsion Laboratory (JPL), a Federally Funded Research and Development Center (FFRDC), only to the extent specified or referenced in the appropriate contract, grant, or agreement.
- b. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms: "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material.
- c. In this directive, all document citations are assumed to be the latest version unless otherwise noted.
- d. These requirements apply to all announcements of grant and cooperative agreement funding opportunities with the following exceptions:
 - (1) Funding opportunities for awards when the total funding of each award is less than \$25,000 and for which 100-percent of eligible applicants live outside of the United States.
 - (2) Single source funding opportunities that are specifically directed to a known recipient.

P.3 Authority

- a. The National Aeronautics and Space Act of 1958, 51 U.S.C. § 20113(e), as amended.
- b. Federal Grant and Cooperative Agreements Act of 1977, 31 U.S.C § 6301 et seq.

P.4 Applicable Documents and Forms

- a. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR pt. 200 as implemented in 2 CFR pt. 1800.
- b. Cooperative Agreements with Commercial Firms, 14 CFR pt. 1274.

- c. NASA FAR Supplement, 48 CFR pt. 18.
- d. OMB Memorandum M-04-01 "Grants.gov FIND Policy."
- e. OMB Memorandum M-04-05 "Clarification of Passback Language to Grant-Making Agencies."
- f. NASA Grant and Cooperative Agreement Manual (GCAM).
- g. NASA Proposers' Guidebook.

P.5 Measurement/Verification

The Office of Procurement will perform Procurement Management Reviews every three years to monitor compliance through a random review of NASA NRAs, CANs, and other funding opportunities.

P.6 Cancellation

NPR 5810.1, Standard Format for NASA Research Announcements (NRAs) and other Announcements for Grants and Cooperative Agreements, dated October 18, 2004.

Chapter 1. Standard Announcement Format and Requirements

1.1 Background

- a. In 2014, the OMB issued the 2 CFR pt. 200. This guidance prescribed a standard announcement format for funding opportunities that would result in a grant or cooperative agreement. Types of funding opportunities that may result in a grant or cooperative agreement include the NASA Research Announcement (NRA) and the Cooperative Agreement Notice (CAN). An NRA is used when any awarded funds could be issued under a grant, cooperative agreement, or contract. The NRA may be limited to one or more of the funding mechanisms. A CAN is used when any awarded funds can only be issued as a cooperative agreement.
- b. NASA Program Managers shall ensure that all NRAs and CANs comply with the requirements of 2 CFR pt. 200 using the template found in the NASA Grant and Cooperative Agreement Manual (GCAM). In the case of an NRA that could result in a grant, cooperative agreement, or contract, NASA staff shall include the language in 48 CFR pt. 1852.235-72. 48 CFR pt. 1852.235-72 may be added as an appendix to the NRA. If the NRA will only result in a contract, program managers shall follow the solicitation requirements in the NASA FAR Supplement.
- c. The decision to issue a grant, cooperative agreement, or contract is based upon the principle purpose of the funding and the relationship between the recipient and the Federal Government, rather than the type of recipient (for-profit versus non-profit). Based on the proposed work and the criteria prescribed in the GCAM, the Program Manager recommends the type of funding mechanism. The NASA Grant Officer, upon review of the recommendation, shall make the final determination of the correct funding mechanism.

1.2 Overview

When preparing funding opportunities program managers shall follow the instructions as prescribed in 2 CFR pt. 200.203 and the GCAM.

1.3 Funding Opportunity

- a. For all funding opportunities the Program Manager shall include:
- (1) The required elements, including NASA specific requirements, as prescribed in the NASA Grant and Cooperative Agreement Manual (GCAM), Exhibit A.
 - (2) The Catalog of Federal Domestic Assistance (CFDA) numbers as found in Section 5 of the GCAM for all funding streams.
 - (3) The OMB Control Number - 2700.092 on the cover sheet.

1.4 Synopsis Requirement

- a. For all funding opportunities, the program manager shall provide a synopsis using the standard data elements listed in 2 CFR pt. 200.203, as formatted in GCAM Appendix A. Program managers shall also include the link to the NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES) allowing proposers to access the full funding opportunity package. NSPIRES can be accessed at <https://nspires/external/>.
- b. For a funding opportunity that will only result in a grant or cooperative agreement, program managers shall prepare the synopsis in NSPIRES. NSPIRES will electronically post the synopses to Grants.gov no later than three business days after release of the full announcement. Grants.gov can be accessed at <http://www.grants.gov/>.
- c. For NRAs that may result in a contract, as well as a grant or cooperative agreement, the program manager shall prepare the synopsis in NSPIRES or Federal Business Opportunities (FBO). If the program manager prepares the synopsis in FBO they must ensure that the same synopsis is posted onto Grants.gov following the instructions in section 1.4 b. FBO can be accessed at <https://www.fbo.gov>.
- d. Program managers or designee must register in NSPIRES in order to post a synopsis on NSPIRES. Go to <https://i-nspires.nasaprs.com/internal/> to obtain an account. Instructions on how to use NSPIRES is available through user desk guides at <https://i-nspires.nasaprs.com/tutorials/>.
- e. Program managers shall ensure that the synopsis and application package are posted to Grants.gov within three business days after the release of the full announcement.

1.5 Proposal submission

- a. Program managers shall follow the submission requirements as outlined in the NASA Proposers' Guidebook.
- b. Though NSPIRES is the system of record for proposal submission, program managers shall provide proposers the opportunity to apply through Grants.gov also.

Chapter 2. Responsibilities

2.1 Office of Procurement

a. The Office of Procurement shall issue guidance to the Agency on the use of funding opportunities for grants and cooperative agreements and ensure compliance with OMB policy in the area of such announcements. In addition, the Office of Procurement will:

- (1) Review and approve (as appropriate) all deviation requests.
- (2) Review all funding opportunities when the total amount of the program is \$5 million or more.
- (3) Maintain this NPR, updating as required.

2.2 Program Managers/Mission Directorate Associate Administrators

a. The Program Managers/Mission Directorate Associate Administrators are responsible for ensuring that:

- (1) The standard format is used for announcements of programs under their cognizance.
- (2) All parts incorporated by reference are accurate and any referenced citations are correct.
- (3) All funding opportunities are uploaded into NSPIRES and Grants.gov.
- (4) Recommendations are developed for the type of funding mechanism to award, based on the criteria outlined in the GCAM.

2.3 Center/NSSC Procurement Offices

The Center or NSSC Office of Procurement, as appropriate, will review all funding opportunities, where the total amount of the program is under \$5 million, to ensure compliance with the formatting and financial assistance regulations and policy.

2.4 NASA Grant Officer

The NASA Grant Officer resides in the Center or NSSC Office of Procurement. The NASA Grant Officer shall, in consultation with OGC and the Program Managers, issue final resolution for questions regarding the proper funding mechanism.

Appendix A. Definitions

Contract -- a legal instrument reflecting the relationship between the U.S. Government and a state, a local government, or other recipient when:

- (1) The principal purpose of the instrument is to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the U.S. Government.
- (2) The agency decides in a specific instance that the use of a procurement contract is appropriate.

Cooperative Agreement -- a legal instrument reflecting a relationship between the U.S. Government and a state or local government or other recipient when:

- (1) The principal purpose of the relationship is to transfer a thing of value to the state or local government or other recipient to carry out a public purpose of support or stimulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the U.S. Government.
- (2) Substantial involvement is expected between the executive agency and the state or local government or other recipient when carrying out the activity contemplated in the agreement.

Funding Mechanism -- a term to described selection to award funds as a grant, cooperative agreement, or contract.

Funding Opportunity -- a formal published announcement of the availability of NASA funding through one of its program offices. The announcement invites proposals and provides such information as eligibility and evaluation criteria, funding preferences/priorities, how to obtain application kits, and submission deadlines.

Grant -- a legal instrument reflecting a relationship between the U.S. Government and a state or local government or other recipient when:

- (1) The principal purpose of the relationship is to transfer a thing of value to the state or local government or other recipient to carry out a public purpose of support or stimulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the U. S. Government.
- (2) Substantial involvement is not expected between the executive agency and the state or local government or other recipient when carrying out the activity contemplated in the agreement.

Appendix B. Acronyms

CAN	Cooperative Agreement Notice
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulation
GCAM	NASA Grant and Cooperative Agreement Manual
JPL	Jet Propulsion Laboratory
NASA	National Aeronautics and Space Administration
NODIS	NASA On-line Directives Information System
NRA	NASA Research Announcement
NPR	NASA Procedural Requirements
NSPIRES	NASA Solicitation and Proposal Integrated Review and Evaluation System
NSSC	NASA Shared Services Center
OGC	Office of General Counsel
OMB	Office of Management and Budget
U.S.C.	United States Code